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Ginger R. Dreger  
Knobbe Martens Olson & Bear  
Suite 1150  
201 California Street  
San Francisco, CA 94111

EXAMINER

KOLKER, DANIEL E

ART UNIT	PAPER NUMBER
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1646

DATE MAILED: 03/10/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

*112*

## Office Action Summary

Application No.

10/035,977

Applicant(s)

DESNOYERS ET AL.

Examiner

Daniel Kolker

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 4 September 2002, 14 October 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 22-41 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 22-41 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 26 December 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                        | 4) <input type="checkbox"/> Interview Summary (PTO-413)                     |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)               | Paper No(s)/Mail Date. _____  |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date <u>5/3/02, 6/24/04</u>   | 6) <input type="checkbox"/> Other: _____                                    |

### DETAILED ACTION

The amendments filed 26 December 2001 and 4 September 2002 have been entered. Claims 22 – 41 are under examination.

#### *Priority*

35 U.S.C. § 119(e) states that:

An application for patent filed under section 111(a) or section 363 of this title for an invention disclosed in the manner provided by the first paragraph of section 112 of this title in a provisional application filed under section 111(b) of this title, by an inventor or inventors named in the provisional application, shall have the same effect, as to such invention, as though filed on the date of the provisional application filed under section 111(b) of this title, if the application for patent filed under section 111(a) or section 363 of this title is filed not later than 12 months after the date on which the provisional application was filed and if it contains or is amended to contain a specific reference to the provisional application.

The preliminary amendment filed 4 September 2002 indicates that this application is a continuation of 09/931836, which is a continuation of PCT/US00/05601, which claims priority to provisional application 60/130359, filed 21 April 1999. While applicant disclosed the nucleic acid sequence in said provisional application, no use for either the nucleic acid or the encoded protein was disclosed.

Applicant is advised that the instant application can only receive benefit under 35 U.S.C. § 119(e) from an earlier application which meets the requirements of 35 U.S.C. § 112, first paragraph, with respect to the now claimed invention. Because the provisional application filed 21 April 1999 does not meet the requirements of 35 U.S.C. § 112, first paragraph, it is unavailable under 35 U.S.C. § 119(e). The effective priority date of the instant application is considered to be the filing date of the international application PCT/US00/05601, filed 1 March 2000.

The examiner has determined that the asserted utilities, i.e. the positive results in assays 106 (Detection of Polypeptides that Affect Glucose or FFA Uptake in Skeletal Muscle) and 92 (Mouse Kidney Mesengial Cell Proliferation Assay), do not constitute specific and substantial utilities as required under 35 U.S.C. § 101. The reasons for this determination are enumerated below.

Should applicant argue that the provisional application filed 21 April 1999 in fact is an enabling disclosure, applicant must specifically indicate the page and line numbers where PRO4380 was found to test positive in assays 92 and 106, as well as overcome the rejection under 35 U.S.C. § 101 below.

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### ***Information Disclosure Statement***

The information disclosure statements filed 3 May 2002 and 24 June 2004 have been considered. The database search results demonstrate that applicants are aware of nucleic acids with identity or homology to the one claimed herein. However, as the BLAST results do not give sufficient identifying information, the examiner cannot determine if said sequences constitute prior art.

### ***Specification***

The disclosure is objected to because of the following informalities:

The title is not descriptive. A new title is required that is clearly indicative of the invention to which the claims are directed.

The specification includes browser-executable hyperlinks. This objection could be overcome by deleting all occurrences of the text "http://".

Appropriate correction is required.

### ***Claim Rejections - 35 USC § 101***

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claims 22 – 41 are rejected under 35 U.S.C. 101 because the claimed invention is not supported by either a specific and substantial asserted utility or a well established utility.

It is clear from the instant application that the protein described therein is what is termed an "orphan protein" in the art. The DNA of the instant application has been isolated because of its similarity to a known DNA. There is little doubt that, after complete characterization, this DNA and encoded protein may be found to have a specific and substantial credible utility. This further characterization, however, is part of the act of invention and until it has been undertaken, Applicant's claimed invention is incomplete. The instant situation is directly analogous to that which was addressed in *Brenner v. Manson*, 148 U.S.P.Q. 689 (Sus. Ct, 1966), in which a novel compound which was structurally analogous to other compounds which were known to possess anti-cancer activity was alleged to be potentially useful as an anti-tumor agent in the absence of evidence supporting this utility. The court expressed the opinion that all chemical compounds

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are "useful" as it appears in 35 U.S.C. § 101, which requires that an invention must have either an immediate obvious or fully disclosed "real world" utility. The court held that:

"The basic quid pro quo contemplated by the Constitution and the Congress for granting a patent monopoly is the benefit derived by the public from an invention with substantial utility", "[u]nless and until a process is refined and developed to this point-where specific benefit exists in currently available form-there is insufficient justification for permitting an applicant to engross what may prove to be a broad field", and "a patent is not a hunting license", "[i]t is not a reward for the search, but compensation for its successful conclusion".

The claims are drawn to isolated nucleic acids which encode PRO4380, as well as variants thereof, nucleic acids which hybridize thereto, vectors, and host cells. The specification asserts that PRO4380 has two specific utilities, as it came up positive in two assays, however neither utility is substantial.

The research data presented in the instant specification indicate that PRO4380 of SEQ ID NO:57 "tested positive as either stimulator[s] or inhibitor[s] of glucose and/or FFA uptake" in an assay using primary rat differentiated skeletal muscle (page 166, Example 37). Based on the results of the assay disclosed in the Example 37 it was asserted that the instant PRO4380 polypeptides "would be expected to be useful for the therapeutic treatment of disorders where either the stimulation or inhibition of glucose uptake by skeletal muscle would be beneficial including, for example, diabetes or hyper- or hypo-insulinemia" (page 166, lines 17 - 19). However, based on the information supplied in the instant disclosure, one skilled in the art would clearly not know what is the specific utility of the instant PRO4380 with respect to glucose or FFA uptake. The specification (p. 166) discloses that a protein is scored as a 'positive' in the glucose and FFA uptake assay if any one of four conditions is met:

- a) Glucose uptake decreases by at least 50% from control
- b) Glucose uptake increases to at least 150% of control
- c) FFA uptake decreases by at least 50% from control
- d) FFA uptake increases to at least 150% of control

But the specification does not indicate which of the above-listed conditions applies to PRO4380. Is it stimulation or inhibition of glucose uptake? Would PRO4380 polypeptides be useful to treat hyper-insulinemia or hypo-insulinemia, two opposite conditions? Or would it be useful in stimulating or inhibiting glucose uptake?

Furthermore, the observed differences do not appear to be statistically significant and the cutoff points appear to be arbitrary and there is not obvious scientific basis for them. For example, Santomauro et al. (1999. Diabetes 48:1836-1841) teach that 56.5% decreases in FFA levels are statistically significant and correlated with physiological improvements, but it is not

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clear from either the prior art or the specification whether 50% decreases are useful (see Table 2 from Santomauro et al.). Note that 50% decreases in *plasma* insulin do appear to be significant, but it is not clear whether this is due to a doubling of insulin uptake by skeletal muscle or by other tissues, or whether it is due to changes in the amount of insulin production. Similarly, the observation that 56.5% decreases in *circulating* FFAs is significant and correlated with physiological improvements does not indicate that a doubling of uptake of FFAs *by skeletal muscle cells* will lead to the same decreases in FFAs. For example, doubling the amount of FFA uptake from 1% to 2% of total circulating FFAs would not be expected to lead to a 56% decrease in circulating FFA levels. It is unclear to the examiner why one would want to decrease FFA uptake, as that would be expected to result in higher circulating FFAs, which can lead to diabetes (see Santomauro et al., p. 1836, second column, last sentence of first paragraph). Additionally Boden (2003. Exp Clin Endocrinol Diabetes 111:121-124) teaches that increasing plasma FFA leads to atherosclerosis (p. 123, first column, under Summary). Additionally, it is not clear from either the prior art or the post-filing art that FFA uptake is a useful assay. Boden teaches that there is not a cause and effect relationship between FFA-mediated changes in intramyocellular triglyceride content and changes in insulin resistance (p. 122, first column, in the middle of the first full paragraph). Kelley et al. (1999. Am J Physiol 277 (Endocrinol Metab 40):E1130-E1141) teach that free fatty acid uptake may not be as important in determining obesity as other factors, such as fatty acid oxidation (see p. E1139, second column first full paragraph).

35 USC § 101 specifically requires that the invention must be useful in currently available form, which precludes any further experimentation to establish the utility of the claimed invention. Because the instant specification, as filed, fails to disclose a specific role of PRO4380 in glucose and/or FFA uptake, one would have reasons to conclude that the instant invention was not completed as filed, and, therefore, clearly lacks utility in currently available form.

The data presented in Example 41 (p. 168 – 169) of the specification indicate that PRO4380 was positive in the Mouse Kidney Mesengial Cell Proliferation Assay. It is acknowledged that proliferation of mammalian kidney mesengial cells is useful. However, the threshold used in determining whether a particular PRO molecule counts as “positive” in this assay would not be considered reasonable by one of skill in the art. The specification discloses (p. 169, lines 1 – 2) that positives in this assay include anything which is at least 15% over the

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control reading. The post-filing publication by Rovin et al. (2002. Kidney International 61:1293-1302) indicates that a 21% increase in human mesangial cell proliferation is not statistically significant (see particularly p. 1296, lines 3 – 6). Note that the assay used by Rovin et al. is similar to that disclosed in Example 41: both used the Cell-Titer 96 reagent from Promega, measured absorbance at 490 nm, and expressed the results as the ratio of the absorbance for a given treatment to that of control cells (see Specification, p. 168 – 169, and Rovin et al., p. 1294, second column, second complete paragraph). Because the specification does not disclose the degree to which PRO4380 increased cell proliferation, or whether or not the results were statistically significant, the teachings of Rovin et al. indicate that PRO4380 is not useful in the proliferation of kidney mesangial cells. Clearly, further research and experimentation are required to find out whether the PRO4380 is useful as asserted.

A substantial utility, *by definition*, is a utility that defines “real world” use, and a utility that requires or constitutes carrying out further research to identify or reasonably confirm a “real world” context of use is not a substantial utility. In the instant case, the mere fact that the protein encoded by the claimed nucleic acids was “positive” in two assays is at the most, an interesting invitation for further research, experimentation and confirmation as to whether the PRO4380 is useful as a treatment for hyper-insulinemia, hypo-insulinemia, or kidney mesangial cell proliferation. The further research and experimentation, however, is part of the act of invention, and until it has been undertaken, the claimed invention is not considered specific or substantial.

Claims 22 - 41 are also rejected under 35 U.S.C. 112, first paragraph. Specifically, since the claimed invention is not supported by either a specific or substantial asserted utility or a well established utility for the reasons set forth above, one skilled in the art clearly would not know how to use the claimed invention.

### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Even if PRO4380 had utility and were enabled, enablement would not be commensurate in scope with claims 22 – 27, 30 - 31, and 35 - 410, because the specification, does not

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reasonably provide enablement for nucleic acids 80, 85, 90, 95 or 99% identical to SEQ ID NO:56, nor which encode a protein 80, 85, 90, 95 or 99% identical to the protein of SEQ ID NO:57, nor nucleic acids which hybridize to any of the above. The specification does not enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make or use the invention commensurate in scope with these claims.

The factors considered when determining if the disclosure satisfies the enablement requirement and whether any necessary experimentation is "undue" include, but are not limited to: 1) nature of the invention, 2) state of the prior art, 3) relative skill of those in the art, 4) level of predictability in the art, 5) existence of working examples, 6) breadth of claims, 7) amount of direction or guidance by the inventor, and 8) quantity of experimentation needed to make or use the invention. *In re Wands*, 858 F.2d 731 737, 8 USPQ2d 1400 1404 (Fed. Cir. 1988).

The claims are directed to isolated nucleic acids having at least 80% identity to a SEQ ID NO:56 or that encode the protein of SEQ ID NO:57 with or without its signal peptide, or which encode the extracellular domain of SEQ ID NO:57 with or without its signal peptide, or nucleic acids at least 80% identical to such encoding nucleic acids. Dependent claims are directed to vectors and host cells comprising the isolated nucleic acids. The specification contains numerous asserted utilities including use as hybridization probes, in chromosome and gene mapping, in the generation of anti-sense RNA and DNA, to identify molecules that bind to PRO4380 (including agonists and antagonists), to make "knock-out" mice or other animals, in gene therapy, as molecular weight markers, therapeutic agents, and for the production of antibodies. None of these asserted utilities is specific for the disclosed PRO4380 nucleic acids or protein, as each of the aforementioned utilities could be asserted for any naturally occurring protein, and further, as none of the asserted utilities requires any feature or activity that is specific to the disclosed PRO4380.

Because the claimed nucleic acids are described at least in part in terms of the protein that might be encoded, the scope of the protein itself must be considered: The specification (p. 155, lines 29 – 33) teaches that the nucleic acid encoding PRO4380 has (unspecified) homology to the nucleic acids which encode CER11H6\_1, S56299, D89150\_1, G70870, S43914, LMO34616\_5, LLU78036\_1, AF055904\_2, P W79066 and ARGE\_ECOLI however the instant specification fails to indicate the degree of homology or whether the PRO4380 has any homology thereto. The specification (Figure 26) discloses that the amino acid sequence might



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contain a transmembrane domain, but does not indicate which end of the protein is the intracellular domain and which is the extracellular domain.

The Examiner has determined that nucleic acids encoding PRO4380 do not meet the utility requirements of 35 U.S.C. § 101, as detailed above. The claims encompass an unreasonable number of inoperative polynucleotides, which the skilled artisan would not know how to use. As opposed to the claims, what is disclosed about PRO4380 is narrow: a single polypeptide with no utility.

There are no working examples of nucleic acids less than 100% identical SEQ ID NO:56. The examiner has determined that the asserted utilities are not sufficient to meet the requirements of 35 U.S.C. § 112, first paragraph. While the specification generally describes properties of cytokines, it is acknowledged that cytokines are diverse in function and structure. The specification does not provide guidance for using polypeptides related to (i.e., 80%-99% identity) but not identical to SEQ ID NO:57 which do not have the activities that PRO4380 is asserted to have.

The claims are broad because they do not require the claimed nucleic acid to encode a polypeptide identical to the disclosed sequence and because the claims have no functional limitation. An enabling description of a genus of DNAs may be achieved by means of a recitation of a representative number of DNAs, defined by nucleotide sequence, falling within the scope of the genus, or of a recitation of structural features common to the genus, which features constitute a substantial portion of the genus. The instant specification discloses, however, a single isolated polynucleotide sequence SEQ ID NO:56 and a single isolated polypeptide sequence SEQ ID NO:57. Furthermore, protein function cannot be reliably predicted from sequence homology. For example, Transforming Growth Factor (TGF-beta) Family OP-1 induces metanephrogenesis whereas closely related TGF-beta family members- BMP-2 and TGF-beta1-have no effect on metanephrogenesis under identical conditions (Vukicevic et al., 1996, PNAS USA 93:9021-9026). Platelet-derived Growth Factor (PDGF) Family VEGF, a member of the PDGF family, is mitogenic for vascular endothelial cells but not for vascular smooth muscle cells while PDGF is mitogenic for vascular smooth muscle cells but not for vascular endothelial cells (Tischer et al., U.S. Patent 5,194,596, column 2, line 46 to column 3, line 2). Finally, vertebrate growth hormone of 198 amino acids becomes an antagonist (inhibitor of growth) when a single amino acid is changed (Kopchick et al, U.S. Patent No. 5,350,836). Even 99% homology does not allow predictability in this instance. While

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the above-listed are examples of subtle changes in protein sequence leading to large unpredictable changes, the same logic applies to changes in nucleic acids, as it is the nucleic acids which encode proteins. Absent a clear disclosure of which elements of PRO4380 are required for its activity, the claims to fragments, hybridization partners, and variants that are related only by percentage of sequence identity are not fully enabled. Given the unpredictability of homology comparisons, and the fact that the specification fails to provide objective evidence that the additional sequences are indeed species of the claimed genus it cannot be established that a representative number of species have been disclosed to support the genus claim. No activity is set forth for the additional sequences.

For these reasons, which include the complexity and unpredictability of the nature of the invention and art in terms of the diversity of proteins and lack of knowledge about functions of encompassed polypeptides structurally related to SEQ ID NO:57, the potential one limited working example of nucleic acid encoding PRO4380 and its one asserted function, the lack of direction or guidance for using either nucleic acids that are not identical to SEQ ID NO:56 or polypeptides that are not identical to SEQ ID NO:57, and the breadth of the claims for structure without function, it would require undue experimentation to use the invention commensurate in scope with the claims as they are drawn to nucleic acids that encode protein.

With respect to uses of the claimed nucleic acids for purposes other than encoding protein, e.g. diagnostic applications or hybridization use, the specification discloses no condition or disease that can be reliably diagnosed, detected, or treated with the claimed polynucleotides. The specification also is not enabling of the breadth of claims to nucleic acid molecules that hybridize to the disclosed sequences. It is noted that claims that recite hybridization language are indefinite (see the rejection under 35 U.S.C. § 112, second paragraph, below), and do not recite that the nucleic acid encode a protein, much less one having a specifically disclosed activity. First of all, it is pointed out that the term "hybridize" or "hybridization" generically refers to a process in which a strand of nucleic acid joins or matches up with a complementary strand through the process of base pairing, wherein the process is basically used to locate or identify DNAs encoding specific proteins. It is well established in the art that 15-20 bases have been considered sufficient to achieve this process. For example, Duby et al. (1993. Current Protocols in Molecular Biology 6.4.1 – 6.4.10) teach the methods of screening nucleic acid libraries with oligonucleotides as short as 14-mers. The breadth of the claims includes nucleic acids of as little as 10 nucleotides. With these points in mind, it is the Examiner's position that

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giving the claims their broadest reasonable interpretation, this language reads on an infinite number of possible DNA sequences for which there is not sufficient enablement.

The examples provided in the specification do not provide a representative number of different DNA sequences that would enable a representative number of the above discussed DNA sequences with assurances that they possess or encode proteins having the desired activity, or alternatively can be used as probes or primers for the purpose of amplifying or detecting the PRO4380 gene. The mere recitation of this term, and the definitions provided do not serve as sufficient guidance to enable the breadth of the claims for the various DNA sequences claimed. See *Ex parte Forman*, 230 USPQ 546. Since the first paragraph of the statute under 35 U.S.C. § 112 requires that there must be an enabling disclosure to support the breadth of the claims, a review of the specification confirms that the scope of the various DNA sequences that are discussed above have not been enabled. There is but a single nucleic acid disclosed with reference to PRO4380, SEQ ID NO:56. In the absence of sufficient guidance, it would require undue experimentation to enable a commensurate number of the sequences that are encompassed by the claims.

Claims 22 – 27 and 34 – 41 are rejected under 35 U.S.C. 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention.

The deposit of biological organisms is considered by the Examiner to be necessary for enablement of the current invention (see 37 C.F.R § 1.808(a)). Examiner acknowledges the deposit of organisms under accession number ATCC 203018 under terms of the Budapest Treaty on International Recognition of the Deposit of Microorganisms for the Purposes of Patent Procedure in partial compliance with this requirement. However, in order to be fully compliant with the requirement, applicants must state that the deposit will be maintained for a term of at least 30 years and *at least five (5) years after the most recent request for the furnishing of a sample of the deposit was received by the depository*. See 37 C.F.R. § 1.806.

Claims 22 – 27, 30 – 31, and 35 – 41 are rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the written description requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to reasonably convey to

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one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention. This is a written description rejection.

The claims are drawn to polynucleotides having at least 80%, 85%, 90%, 95% or 99% sequence identity with a particular disclosed sequence, or that merely hybridize to a disclosed sequence. The claims do not require that the claimed polynucleotide encode a particular protein, nor that any protein encoded thereby possess any particular biological activity, nor any particular conserved structure, or other disclosed distinguishing feature. The specification teaches that the nucleic acid encoding PRO4380 has (unspecified) homology to the nucleic acids which encode CER11H6\_1, S56299, D89150\_1, G70870, S43914, LMO34616\_5, LLU78036\_1, AF055904\_2, P W79066 and ARGE\_ECOLI, however the instant specification fails to indicate the degree of homology or whether the PRO4380 has any homology thereto. The structure of the putative PRO4380 peptide is disclosed as comprising a putative transmembrane domain at page 34 of the specification; however, it is unclear from the disclosure that if it is a transmembrane protein, which end of the protein would be the extracellular domain.

To provide evidence of possession of a claimed genus, the specification must provide sufficient distinguishing identifying characteristics of the genus. The factors to be considered include disclosure of complete or partial structure, physical and/or chemical properties, functional characteristics, structure/function correlation, methods of making the claimed product, or any combination thereof. In this case, the only factor present in the claim is a partial structure in the form of a recitation of percent identity. There is not even identification of any particular portion of the structure that must be conserved. Accordingly, in the absence of sufficient recitation of distinguishing identifying characteristics, the specification does not provide adequate written description of the claimed genus.

*Vas-Cath Inc. v. Mahurkar*, 19 USPQ2d 1111, clearly states that "applicant must convey with reasonable clarity to those skilled in the art that, as of the filing date sought, he or she was in possession of *the invention*. The invention is, for purposes of the 'written description' inquiry, *whatever is now claimed*." (See page 1117.) The specification does not "clearly allow persons of ordinary skill in the art to recognize that [he or she] invented what is claimed." (See *Vas-Cath* at page 1116). As discussed above, the skilled artisan cannot envision the detailed chemical structure of the encompassed genus of polypeptides, and therefore conception is not achieved until reduction to practice has occurred, regardless of the complexity or simplicity of the method

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of isolation. Adequate written description requires more than a mere statement that it is part of the invention and reference to a potential method of isolating it. The compound itself is required. See *Fiers v. Revel*, 25 USPQ2d 1601 at 1606 (CAFC 1993) and *Amgen Inc. v. Chugai Pharmaceutical Co. Ltd.*, 18 USPQ2d 1016.

One cannot describe what one has not conceived. See *Fiddes v. Baird*, 30 USPQ2d 1481 at 1483. In *Fiddes*, claims directed to mammalian FGF'S were found to be unpatentable due to lack of written description for that broad class. The specification provided only the bovine sequence.

Therefore, nucleic acids comprising the sequence set forth in SEQ ID NO:56 or encoding the protein of SEQ ID NO:57 or active fragments thereof, but not the full breadth of the claims, meet the written description provision of 35 U.S.C. § 112, first paragraph. Applicant is reminded that *Vas-Cath* makes clear that the written description provision of 35 U.S.C. §112 is severable from its enablement provision (see page 1115).

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 22 – 41 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claims that recite "the extracellular domain" of the protein are indefinite as no extracellular domain has been described. Therefore, the metes and bounds of the claims cannot be determined. For example, see Claim 22, parts (c) and (d). It is noted that a putative transmembrane domain is disclosed in Figure 26 of the specification; however, it is clear from the disclosure that there is no conception of whether PRO4380 is in fact a transmembrane protein, and accordingly, which end of the protein would be the 'extracellular' domain. Therefore the term "the extracellular domain" is indefinite as it is not clear to which extracellular domain applicant intends to refer. Finally, if the protein had an extracellular domain, the recitation of "the extracellular domain. . .lacking its associated signal sequence" (claim 22, part (d), for example) would be indefinite as a signal sequence is not generally considered to be part of an extracellular domain, as signal sequences are cleaved from said domains in the process of secretion from the cell.

Claims that recite that the claimed nucleic acid "hybridizes to" another sequence, such as claim 35, are indefinite as there is no limiting definition of such in the specification, and the metes and bounds of that which will hybridize are dependent upon the conditions under which the hybridization is performed. As the metes and bounds of what will hybridize to a given sequence are entirely dependent upon the conditions of hybridization and washing, the metes and bounds of the claims cannot be determined. With respect to claim 36, although the further limitation that the hybridization conditions are "stringent" is introduced, the term "stringent conditions" is also a relative term, and the metes and bounds of the claim cannot be determined.

The remaining claims are rejected for depending from an indefinite claim.

### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 22 – 27, 29, 31 and 35 – 41 are rejected under 35 U.S.C. 102(a) as being anticipated by Ruben et al. (WO/9958660, published 18 November 1999, pp. 308 – 309, which are pp. 16-17 of the sequence listing). The claims are drawn to isolated nucleic acids at least 80%, 85%, 90%, and 95% identical to SEQ ID NO:56; dependent claims are drawn to nucleic acids which hybridize to same, vectors, and host cells. Ruben et al. teach a sequence, SEQ ID NO:31, that is 95.3% identical to SEQ ID NO:56. The complete sequence from Ruben et al. anticipates the nucleic acid sequences of claims 22 – 25. The specification discloses (p. 150, lines 20 - 25) that nucleotides 201 – 1724 encode PRO4380. Figure 26 indicates that the signal

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peptide consists of amino acid residues 1 – 26. Since three nucleotides encode a single amino acid residue, residue 27 (i.e. the first residue after the signal peptide) would be predicted to be encoded by nucleotides 282 – 284. The sequence from Ruben et al. is 100% identical to SEQ ID NO:56 over the region from nucleotides 243 – 2134, including the entire region coding for PRO4380 without its signal peptide. Therefore the prior art sequence also meets the limitations of claims 26, 27, and 29. The specification does not disclose which end of PRO4380 is the extracellular end and which end is the intracellular end. However, no matter which end is extracellular, because the sequence from Ruben et al. is 100% identical to a nucleic acid encoding residues 27 – 507 of PRO4380, the prior art sequence also meets the limitations of claim 31. Double-stranded DNA sequences which are 100% identical to one another will inherently hybridize; since applicant has clearly contemplated the use of double-stranded nucleic acids (see specification p. 65 – 66) and the sequences are 100% identical for more than 1800 nucleotides, they will inherently hybridize. Therefore claims 35 – 37 are rejected. On pp. 198 – 201 Ruben et al. teach putting the nucleic acid in vectors and host cells, including CHO, yeast, and *E. Coli* cells (see p. 199, lines 22 – 25), thereby meeting the limitations of claims 38 – 41.

Claims 35 – 37 are rejected under 35 U.S.C. 102(a) as being anticipated by NCBI locus AI939620, first publicly available 13 December 1999, as evidenced by Alebrts et al. (1994. *Molecular Biology of the Cell*. New York:Garland Publishing, Inc.). The claims are drawn to nucleic acids which hybridize to SEQ ID NO:56, dependent claims are drawn to nucleic acids which stringently hybridize to same, or are at least 10 nucleotides in length. Bases 34 – 609 of AI939620 are complementary to bases 1288 – 1863 of SEQ ID NO:56. Alberts et al. define hybridization as the “process by which two complementary nucleic acid strands form a double helix during an annealing period”. Since the prior art sequence is complementary to a portion of the claimed sequence, the two strands will hybridize, according to the definition provided. The prior art sequence anticipates the claimed nucleic acid sequences.

Claims 35 – 37 are rejected under 35 U.S.C. 102(b) as being anticipated by Lander et al. (WO/9820165, published 14 May 1998, p. 67), DNA sequence WI-15225, as evidenced by Alerts et al. The claims are drawn to nucleic acids which hybridize to SEQ ID NO:56, dependent claims are drawn to nucleic acids which stringently hybridize to same, or are at least 10 nucleotides in length. Bases 1 – 127 of Lander et al. are 99.2% identical to the complement of bases 2017 – 2143 of SEQ ID NO:56. Since the prior art sequence is complementary to a

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portion of the claimed sequence, the two strands will hybridize, according to the definition provided by Alberts. The prior art sequence anticipates the claimed nucleic acid sequences.

Claims 35 – 37 are rejected under 35 U.S.C. 102(b) as being anticipated by Sheppard et al. (WO/9850552, published 12 November 1998, p. 81-84), SEQ ID NO:1, as evidenced by Alberts et al. The claims are drawn to nucleic acids which hybridize to SEQ ID NO:56, dependent claims are drawn to nucleic acids which stringently hybridize to same, or are at least 10 nucleotides in length. Bases 1599 – 1663 of Sheppard et al. are 96.9% identical to bases 2178 – 2242 of SEQ ID NO:56. Applicant has defined isolated nucleic acid to include double-stranded DNA (specification, pp. 65 – 66) thus the claimed nucleic acids include complements to the enumerated sequences, therefore the prior art sequence anticipates the claimed nucleic acid sequences.

Claims 35 – 37 are rejected under 35 U.S.C. 102(e) as being anticipated by Edwards et al. (U.S. Patent 6,783,961, issued 31 August 2004, filed 24 February 2000, claiming priority to a provisional application filed 26 February 1999), as evidenced by Alberts et al. Bases 70 – 300 of SEQ ID NO:13950 are 99.6% identical to bases 66 – 296 of SEQ ID NO:56. The prior art sequence anticipates the claimed nucleic acid sequences.

Claims 35 – 37 are rejected under 35 U.S.C. 102(e) as being anticipated by Sheppard et al. (U.S. Patent 6,084,088, issued 4 July 2000, filed 6 May 1998, claiming priority to a provisional application filed 6 May 1997), as evidenced by Alberts et al. Bases 1603 – 1663 of SEQ ID NO:1 from Sheppard et al. are identical to bases 2182 – 2242 of SEQ ID NO:56. The prior art sequence anticipates the claimed nucleic acid sequences.

### ***Conclusion***

No claim is allowed. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Daniel Kolker whose telephone number is (571) 272-3181. The examiner can normally be reached on Mon - Fri 8:30AM - 5:00PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Anthony Caputa can be reached on (571) 272-0829. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.




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Daniel E. Kolker, Ph.D.

March 3, 2005

  
SHARON TURNER, PH.D.  
PRIMARY EXAMINER  
3-5-05